

November 2003  
Docket: 1058.us2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re: Mark E. Kuznetsov

Serial No: 10/683,979

Filed: October 10, 2003

For: Optical Resonator with Mirror Structure  
Suppressing Higher Order Transverse Modes

Patent Application

Confirmation No: 2975

Group: 2828

Examiner: Not yet assigned

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CERTIFICATE OF MAIL

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

By: Claire J. Handalian  
Claire J. Handalian

March 18, 2004

Date

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in ' 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

☒ Enclosed herewith is form PTO-1449:

☒ Copies of the cited references are enclosed.

☐ Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]

☒ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

☒ The "concise explanation" requirement (non-English references) for reference(s) WO 92/01322 under 37 CFR 1.98(a)(3) is satisfied by:

☐ the explanation provided on the attached sheet.

☐ the explanation provided in the Specification.

☒ submission of the enclosed International Search Report.

☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.

☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:  
Examiner's Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.


The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 501547 in the amount of \$ \_\_\_\_\_. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 501547.

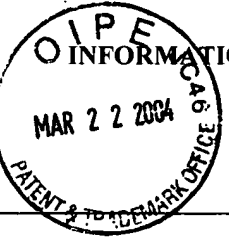
Respectfully submitted,  
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Dated: ~~November 19, 2003~~

*March 17, 2004*

 <b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>				ATTY DOCKET NO. 1058.us2		SERIAL NO. 10/683,979	
				APPLICANT(S): Mark E. Kuznetsov			
				FILING DATE: October 10, 2003		ART UNIT:	
<b>UNITED STATES PATENT DOCUMENTS</b>							
EXAM. INITIAL		DOCUMENT NUMBER	DATE	INVENTOR	CLASS	SUB CLASS	FIL. DATE IF APPR
		6,178,035 B1	Jan 23 2001	Eda, et al.	359	326	Oct 22 1997
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN Y/N
		WO 92/01322	23 Jan 1992	PCT	H01S	3/08	Y (Abstract Only)
<b>OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)</b>							
		Matinaga, F.M., et al., "Low-Threshold Operation of Hemispherical Microcavity Single-Quantum-Well Lasers at 4K", Appl. Phys. Lett. 62(5), 1 February 1993, pp. 443-445.					
		Wilson, G.C., et al., "High Single-Mode Output Power from Compact External Microcavity Surface-Emitting Laser Diode", Appl. Phys. Lett. 63(24), 13 December 1993, pp. 3265-3267.					
		Ferguson, Thomas R., "Optical Resonators with Nonuniform Magnification", Vol. 1, No. 6/June 1984/J. Opt. Soc. Am. A, pp. 653-662.					
		Zang, E.J., "Theory of Waveguide Laser Resonators with Small Curvature Mirrors", IEEE Journal of Quantum Electronics, Vol. 33, No. 6, June 1997, pp.955-958.					
Examiner:					Date:		